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| (1390 REV. 5-93) US DEPT. OF COMMERCE PATENT & TRADEMARK OFFICE  |  | ATTORNEY'S DOCKET NUMBER<br>107872                                 |
| <b>TRANSMITTAL LETTER TO THE<br/>UNITED STATES<br/>DESIGNATED/ELECTED OFFICE<br/>(DO/EO/US) CONCERNING A FILING<br/>UNDER 35 U.S.C. 371</b>  |  | U.S. APPLICATION NO.<br>(if known, sec 37 C.F.R.1.5)<br>09/700,463 |
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| INTERNATIONAL APPLICATION NO.<br>PCT/DK99/00323  | INTERNATIONAL FILING DATE<br>June 11, 1999 | PRIORITY DATE CLAIMED<br>June 11, 1998                             |
| TITLE OF INVENTION<br>PLANAR ELECTRON EMITTER (PEE)  |  |  |
| APPLICANTS FOR DO/EO/US<br>Petr VISCOR et al.  |  |  |
| <p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li><input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li><input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li><input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li><input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> has been transmitted by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li><input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li><input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> have been transmitted by the International Bureau.</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input type="checkbox"/> An oath or declaration of the inventors (35 U.S.C. 371(c)(4)).</li> <li><input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> </ol> <p><b>Items 11. to 16. below concern other document(s) or information included:</b></p> <ol style="list-style-type: none"> <li><input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input type="checkbox"/> A FIRST preliminary amendment.<br/><input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> Entitlement to small entity status is hereby asserted.</li> <li><input checked="" type="checkbox"/> Other items or information: Response to Notification of Missing Requirements, Declaration already filed</li> </ol> |  |  |

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| U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) 09/700,463 | INTERNATIONAL APPLICATION NO. PCT/DK99/00323 | ATTORNEY'S DOCKET NUMBER 107872 |
|---|--|---------------------------------|

| 17. <input type="checkbox"/> The following fees are submitted:<br><br><b>Basic National fee (37 CFR 1.492(a)(1)-(5)):</b><br><br>Search Report has been prepared by the EPO or JPO ....\$860.00<br><br>International preliminary examination fee paid to USPTO (37 CFR 1.482) .....\$690.00<br><br>No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) .....\$710.00<br><br>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....\$1,000.00<br><br>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) .....\$ 100.00<br><br><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> \$ | <b>CALCULATIONS</b>   | <b>PTO USE ONLY</b> |              |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
|--|-----------------------|---------------------|--------------|------|--------------|--------|--|------------|--------------------|-------|--|------------|--|--|--|------------|----|--|
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).  | \$                    |                     |              |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
| <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">Claims</th> <th style="width:20%;">Number Filed</th> <th style="width:20%;">Number Extra</th> <th style="width:20%;">Rate</th> </tr> <tr> <td>Total Claims</td> <td style="text-align: center;">- 20 =</td> <td></td> <td>X \$ 18.00</td> </tr> <tr> <td>Independent Claims</td> <td style="text-align: center;">- 3 =</td> <td></td> <td>X \$ 80.00</td> </tr> <tr> <td colspan="3">Multiple dependent claim(s)(if applicable)</td> <td>+ \$270.00</td> </tr> </table>  | Claims                | Number Filed        | Number Extra | Rate | Total Claims | - 20 = |  | X \$ 18.00 | Independent Claims | - 3 = |  | X \$ 80.00 | Multiple dependent claim(s)(if applicable) |  |  | + \$270.00 | \$ |  |
| Claims   | Number Filed          | Number Extra        | Rate         |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
| Total Claims   | - 20 =                |                     | X \$ 18.00   |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
| Independent Claims   | - 3 =                 |                     | X \$ 80.00   |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
| Multiple dependent claim(s)(if applicable)   |                       |                     | + \$270.00   |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   | \$                    |                     |              |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
| Reduction by 1/2 for filing by small entity, if applicable.  | -                     | \$                  |              |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
| <b>SUBTOTAL =</b>  | \$                    |                     |              |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).  | +                     | \$                  |              |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
| <b>TOTAL NATIONAL FEE =</b>  | \$                    |                     |              |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
|  | Amount to be refunded | \$                  |              |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |
|  | Charged               | \$                  |              |      |              |        |  |            |                    |       |  |            |  |  |  |            |    |  |

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| a. <input type="checkbox"/> Check No. in the amount of \$ to cover the above fees is enclosed.<br>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.<br>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. <u>15-0461</u> . A duplicate copy of this sheet is enclosed. | <div style="text-align: center;"> <br/> <b>NAME: James A. Oliff</b><br/> <b>REGISTRATION NUMBER: 27,075</b> </div> <div style="text-align: center; margin-top: 20px;"> <b>NAME: Joel S. Armstrong</b><br/> <b>REGISTRATION NUMBER: 36,430</b> </div> |
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**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

**SEND ALL CORRESPONDENCE TO:**  
 OLIFF & BERRIDGE, PLC  
 P.O. Box 19928  
 Alexandria, Virginia 22320



## UNITED STATES DEPARTMENT OF COMMERCE

## Patent and Trademark Office

Address: ASSISTANT COMMISSIONER FOR PATENTS

Box PCT

Washington, D.C. 20231

|                               |                       |                  |
|-------------------------------|-----------------------|------------------|
| U.S. APPLICATION NO.          | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 09/700463                     | OLIFF & BERRIDGE      | P 107872         |
| INTERNATIONAL APPLICATION NO. |                       |                  |
| PCT/DK99/00323                |                       |                  |
| I.A. FILING DATE              |                       | PRIORITY DATE    |
| 11 JUN 99                     |                       | 11 JUN 98        |
| DATE MAILED: 18 DEC 00        |                       |                  |

OLIFF & BERRIDGE

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

☐ a Designated Office (37 CFR 1.494),☒ an Elected Office (37 CFR 1.495):☒ U.S. Basic National Fee.☒ Copy of the international application in:☐ a non-English language.☒ English.☐ Translation of the international application into English.☐ Oath or Declaration of inventors(s) for DO/EO/US.☐ Copy of Article 19 amendments.☐ Translation of Article 19 amendments into English.☒ The International Preliminary Examination Report in English and its Annexes, if any.☐ Translation of Annexes to the International Preliminary Examination Report into English.☒ Preliminary amendment(s) filed NOV 15 2000 and☐ Information Disclosure Statement(s) filed and☐ Assignment document.☐ Power of Attorney and/or Change of Address.☐ Substitute specification filed☒ Verified Statement Claiming Small Entity Status.☒ Priority Document.☒ Copy of the International Search Report ☒ and copies of the references cited therein.☐ Other:2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).3. Additional claim fees of \$ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due. See attached PTO-875.

**ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed:

☐ PCT/DO/EO/917☐ Notice of Defective Translation☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)

John Anderson

Telephone: 703-308-9116

JANUARY 18, 2001  
MISSING PARIS

DOCKETED  
By JB on 12/20/2000  
and  
By CRP on 12/20/2000  
Oliff & Berridge

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Petr VISCOB et al.

ATTN: PCT Branch

Application No.: 09/700,463

Docket No.: 107872

Filed: December 21, 2000

For: PLANAR ELECTRON EMITTER (PEE)

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS**  
**UNDER 35 U.S.C 371 IN THE UNITED STATES**  
**DESIGNATED/ELECTED OFFICE (DO/EO/US)**  
**DECLARATION ALREADY FILED**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

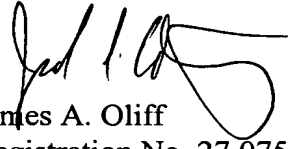
Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C 371 in the United States Designated/Elected Office (DO/EO/US) (copy attached) mailed on December 18, the executed Declaration of the inventors was filed on December 21. A copy of the executed Declaration as filed, a copy of the Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371, and a copy of the stamped postcard receipt are attached hereto. The surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)) was also paid on December 21 with our Check No. 114866 for \$65.00.

Entry of these documents on December 21 should have completed all of the filing formalities. Accordingly, prompt issuance of a Notification of Acceptance and Filing Receipt, and prompt examination and allowance of this application are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461. Two duplicate copies of this paper are attached.

Respectfully submitted,

  
James A. Oliff  
Registration No. 27,075

Joel S. Armstrong  
Registration No. 36,430

RECEIVED  
FEB 29 2001  
TO 2360 MAIL ROOM

JAO:JSA/zmc

Date: December 28, 2000

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

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| <p><b>DEPOSIT ACCOUNT USE</b><br/><b>AUTHORIZATION</b><br/>Please grant any extension<br/>necessary for entry;<br/>Charge any fee due to our<br/>Deposit Account No. 15-0461</p> |
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